Docket No.: 04117/000K528-US0

(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | Patent Application of: A. Nordlicht et al. | | | | | |
|------------------|---|--|--|--|--|--|
| Appli | cation No.: 09/653,102 | Confirmation No.: 4063 Art Unit: 3693 | | | | |
| Filed: | August 31, 2000 | | | | | |
| For: | SYSTEM AND METHOD FOR REAL-TIME OPTIONS TRADING OVER A COMPUTER NETWORK | Examiner: R. C. Weisberger | | | | |
| | INFORMATION DISCLOSURE | STATEMENT (IDS) | | | | |
| P.O. E | nissioner for Patents Box 1450 ndria, VA 22313-1450 | | | | | |
| Dear S | Sir: | | | | | |
| be con relyin | This Information Disclosure Statement is subtand it is requested that the information set forth in nsidered during the pendency of the above-identified on the filing date of the above-identified application. | this statement and in the listed documents fied application, and any other application | | | | |
| (Chec | 1. This IDS should be considered, in accordar k one of the boxes A-D) | ice with 37 C.F.R. 1.97, as it is filed: | | | | |
| | A. within three months of the filing date of the above-identified national application or within three months of the entry into the national stage of the above identified national application | | | | | |
| | B. before the mailing date of a first office acti- action after filing a request for continued ex | | | | | |
| х | C. after (A) and (B) above, but before fin Applicants have made the necessary statem necessary fee in box "ii" below. | | | | | |

| | (check | one of the boxes "i" and "ii" below:) | | | | |
|----|------------------|--|--|--|--|--|
| | i. | Counsel states that, upon information and belief, each item of information listed herein was (check one of boxes (a) or (b)) | | | | |
| | | (a) first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS; or | | | | |
| | | (b) not cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of undersigned after making reasonable inquiry, was not known to any individual designated in 1.56(c) more than three months prior to the filing of this IDS. | | | | |
| | x ii. | Payment in the amount of the fee set forth in 1. 17(p), presently believed to be \$180, is enclosed. | | | | |
| D. | petitie 37 C. | (A), (B) and (C) above, but before payment of the issue fee: Applicant ons under 37 C.F.R. 1.97(d) for the consideration of this IDS. Under FR 1.17(p) payment in the amount of \$180.00 is enclosed. Counsel less that, upon information and belief, each item of information listed in was | | | | |
| | (check | one of the boxes "a" and "b" below:) | | | | |
| | | (a) first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS; or | | | | |
| | | (b) was not cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of undersigned after making reasonable inquiry, was not known to any individual designated in 1.56(c) more than three months prior to the filing of this IDS. | | | | |

2. In accordance with 37 C.F.R. 1.98, this IDS includes a list (e.g., form PTO/SB/08) of all patents, publications, or other information submitted for consideration by the office, either incorporated into this IDS or as an attachment hereto. A copy of each document listed is attached, except as explained below.

(check boxes A, B and/or C and fill in blanks, if appropriate.)

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| x A. | Pursuant to the Notice issued by the United States Patent and Trademark Office dated August 5, 2003 waiving the requirements of 37 C.F.R. § 1.98(a)(2)(ii), a copy/copies of the U.S. Patent(s) and/or U.S. Patent Application Publication(s) on PTO/SB/08 is/are not being submitted. | | | | | | |
|--|--|--|--|--|--|--|--|
| B. | Document(s) is (are) deemed substantially cumulative to document(s), and, in accordance with 1.98(c), only a copy of each of the latter documents is enclosed. | | | | | | |
| C. | Certain documents were previously cited by or submitted to the Office in the following prior applications, which are relied upon under 35 U.S.C. 120: | | | | | | |
| | < <insert &="" date="" filing="" no.="" serial="">></insert> | | | | | | |
| Applicant identifies these documents by attaching hereto copies of the forms PTO-892, PTO-1449 and/or PTO/SB/08 from the files of the prior application(s) or a fresh PTO/SB/08 listing these documents, and request that they be considered and made of record in accordance with 1.98(d). Per 37 CFR 1.98(d), copies of these documents need not be filed in this application. | | | | | | | |
| 3. Cite Nos are not in the English language. In accordance with 1.98(c), Applicant states: | | | | | | | |
| | An English translation of each document (or of the pertinent portions thereof), or a copy of each corresponding English-language patent or application, or English-language abstract (or claim) is enclosed. | | | | | | |
| | The requirement for a concise explanation of the relevance of any foreign language document is satisfied by the attached search report; citation of the documents cited in the search report shall not be construed as an admission that they are or are considered to be, material to patentability of the subject matter claimed herein (See MPEP §609). | | | | | | |
| | A concise explanation of the relevance of document(s) is set forth as follows: [Insert concise explanation of relevance] | | | | | | |
| | A concise explanation of the relevance of document(s) can be found on page(s) of the specification. | | | | | | |
| | A concise explanation of document(s) can be found on the attached sheet. | | | | | | |

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| 4. | No exp | olanation of re | levance | is necessar | y for | docui | ments in the |
|----|--------|--------------------------------------|---------|-------------|--------|-------|--------------|
| _ | _ | n language (seal al rules; 1135 (| | | s 67 i | n the | preamble to |
| 5. | Other | information | being | , | for | the | examiner's |

6. In accordance with 37 C.F.R. 1.97(g) and (h), the filing of this IDS should not be construed as a representation that a search has been made or that information cited is, or is considered to be, material to patentability as defined in §1.56 (b), or that any cited document listed or attached is (or constitutes) prior art. Unless other-wise indicated, the date of publication indicated for an item is taken from the face of the item and Applicant reserves the right to prove that the date of publication is in fact different.

Early and favorable consideration is earnestly solicited.

Payment in the amount of \$180.00 covering the fee set forth in 1.17(p) is enclosed. The Commissioner is authorized to charge any deficiency of up to \$300.00 or credit any excess in this fee to Deposit Account No. 04-0100.

Dated: December 5, 2007

Respectfully submitted,

Thomas J. Bean

Registration No.: 44,528

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